

Express Mail Number: EL896635336US

Docket No. B-4326 619127-3

Date: October 4, 2001

Commissioner of Patents and Trademarks
Box New Patent Application
Washington, D.C. 20231



COPY OF PAPERS
ORIGINALLY FILED

Sir:

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Masato SAKAMOTO

NOTE: Patent must be applied for in the name of all
of the actual inventor or inventors.

For: "CARRIAGE SERVO CONTROL SYSTEM AND INFORMATION-RECORDING MEDIUM
IN WHICH PROGRAM FOR CARRIAGE SERVO CONTROL IS RECORDED"

Enclosed are:

1. **The Papers Required For Filing Date Under 37 CFR 1.53(b):**

22 Pages of specification 1 Page of abstract 6 Pages of claims

7 Sheets of drawings [X] formal [] informal
(Figs. 1-6, 7A-7B)

[X] In addition to the above papers there is also attached

Postcard

Check for filing fee in the amount of \$758.00

Declaration/Power of Attorney (3 pages)

Claim to Priority (1 page) with Certified Copy of Japanese

Application No. P2000-307602

Assignment Cover Sheet (1 page), Assignment document (3 pages),
and Check for \$40.00

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this paper and the documents referred to as enclosed
herein are being deposited with the United States Postal Service in an Express
mail envelope with sufficient postage for Express Mailing on this date October 4,
2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label
number EL896635336US addressed to the:

Commissioner of Patents and Trademarks
Box New Patent Application
Washington, D.C. 20231

Karyn Lao

(Typed or printed name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein
has the number of the "Express Mail" mailing label
placed thereon prior to mailing. 37 CFR 1.10(b).

2. Declaration or oath

☒ Enclosed

☒ original ☐ facsimile

executed by:

☒ inventor(s)

☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43

☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached. 37 CFR 1.47.

☐ petition and statement required by 37 CFR 1.47 also attached. See item 7 below for fee.

☐ Not Enclosed

☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above named inventor(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.

☐ Showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d)).

NOTE: Where the filing is a completion in the U.S. of an international application under 35 U.S.C. 371(c)(4) then the declaration must be filed.

3. Assignment

☒ An assignment of the invention to PIONEER CORPORATION
(with separate cover sheet and separate check for \$40.00)

4. Certified Copies

☒ Certified copy of Japanese Application No. P2000-307602
from which priority is claimed.

NOTE: Must be referred to in oath or declaration. 37 CFR 1.55 and 163.

5. Fee Calculation

CLAIMS		AS FILED		
Number Filed		Number Extra	Rate	Basic Fee \$ 740.00
Total Claims	21 -20=	1 x	\$ 18.00	18.00
Independent Claims	2 -3=	0 x	\$ 84.00	0
Multiple Dependent Claim(s), If Any		0 x	\$180.00	0

☐ Amendment canceling extra claims enclosed

☐ Amendment deleting multiple dependencies enclosed

☐ Fee for extra claims is not being paid at this time

NOTE: If the fee for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency, 37 CFR 1.16(d).

Filing Fee Calculation \$ 758.00

6. Small Entity Statement

☐ Verified statement that this is a filing by a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$ _____

NOTE: If a verified statement is filed within 2 months of the date of payment of first fee then the excess fee paid will be refunded on request. Notice of January 20, 1983. 1027 TMOG 114.

7. Fee Payment Being Made At This Time

☐ Not Enclosed

☐ No filing fee is submitted. This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.

NOTE: Where the filing is a completion in the U.S. of an international application the fee must be paid.

☒ Enclosed

☒ filing fee \$ 758.00

☐ recording assignment (\$40.00; 37 CFR 1.21(h)(i)) \$ _____

☐ petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. 37 CFR 1.47 and 1.17 (h) \$ _____

Total fees enclosed \$ 758.00

8. Method of Payment of Fees

☒ check in the amount of \$ 758.00

☐ charge account No. 12-0415 in the amount of \$ _____
A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

9. Authorization to Charge Additional fees

☒ The Commissioner is hereby authorized to charge the following additional fees which may be required to Account No. 12-0415:

☒ 37 CFR 1.16 (filing fees and presentation of extra claims)

☒ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before Mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

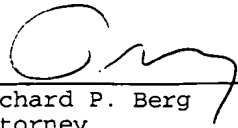
NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application...prior to paying... issue fee".

10. Instructions As To Overpayment

☒ Credit Account No. 12-0415 ☐ refund

c/o LADAS & PARRY
5670 Wilshire Boulevard
Suite 2100
Los Angeles, California 90036-5679

Telephone: (323) 934-2300
Telefax: (323) 934-0202


Richard P. Berg
Attorney
Reg. No. 28,145

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Receipt
#3 2/EC1

Applicant(s): Masato SAKAMOTO)
Serial No.: 09/972,441) Group: 2651
Filing Date: October 4, 2001) Examiner: not yet assigned
(as amended))
Our ref.: B-4326 619127-3
For: "CARRIAGE SERVO CONTROL)
SYSTEM AND INFORMATION-RECORDING)
MEDIUM IN WHICH PROGRAM FOR...") Date: July 16, 2002

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

COPY OF PAPERS
ORIGINALLY FILED

Sir:

REQUEST FOR CORRECTED RECEIPT

RE: FILING DATE

The subject application was submitted pursuant to the Express Mail Procedure of 37 CFR 1.10. The application was deposited with the United States Postal Service (USPS) in an Express Mail envelope with sufficient postage for Express Mailing on October 4, 2001 pursuant to 37 CFR 1.10, but the returned postcard and official filing receipt (copies enclosed) indicate that the United States Patent and Trademark Office (USPTO) considered the filing date to be October 5, 2001.

Enclosed is a copy of the new application transmittal letter from our files. The new application transmittal letter contains a Certification of Express Mailing Date under 37 CFR 1.10 and proper reference to Express Mail Label Number EL896635336US as required by Section 1.10. This information is also contained in the files of the United States Patent and Trademark Office.

Karyn Lao, the person mailing the papers pursuant to 37 CFR 1.10, has signed a verified statement that the new application was deposited with the USPS in an Express Mail envelope with sufficient postage for Express Mailing on October 4, 2001. The signed verified statement signed by Karyn Lao is attached.

Request for Corrected Filing Receipt
U.S. Patent Appln. No. 09/972,441
Page 2

Also enclosed is a letter from Phil Cascio, a manager of the USPS, indicating that October 4, 2001 is the correct "sign in" date. Attached to the letter are copies of the Express Mail envelope and PS Form 5541. It is apparent from the enclosed letter from USPS manager Phil Cascio and the enclosed PS Form 5541 that October 4, 2001 is the correct "sign in" date.

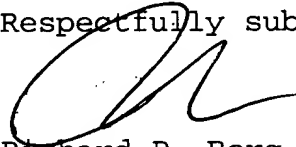
Applicant has complied with the requirements of 37 CFR 1.10 and is entitled to a filing date of October 4, 2001. Therefore, please update all of the records in the USPTO to indicate that the filing date of the above-identified application October 4, 2001; and please advise us in writing that the USPTO considers

October 4, 2001

to be the filing date of the above-identified U.S. application.

The Commissioner is authorized to charge any additional fees which may be required or credit overpayment to deposit account no. 12-0415.

Respectfully submitted



Richard P. Berg
Reg. No. 28,145
Attorney for Applicant
LADAS & PARRY
5670 Wilshire Boulevard, #2100
Los Angeles, California 90036
(323) 934-2300

Request for Corrected Filing Receipt
U.S. Patent Appln. No. 09/972,441
Page 3

Enclosures: copy of returned postcard
copy of official filing receipt
copy of new application transmittal letter
Verified statement signed by Karyn Lao
letter from the Express Mail clerk of
the USPS with copy of Express Mail envelope and
a copy of Pickup Service Statement PS Form 5541
returned from the USPS

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with
the United States Postal Service with sufficient postage as first-
class mail in an envelope addressed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231, on
July 16, 2002

By: _____


Suzanne Johnston

To: USPD (kl)
FROM: COMMISSIONER OF THE PATENTS
THE PATENT AND TRADEMARK OFFICE
MAIL ROOM STAMP HEREON ACKNOWLEDGES
RECEIPT OF: New U.S. Patent Appln., consisting of
Transmittal letter with Certification under 37 CFR 1.10
(3 pages); check no. 13852 in the amount of \$758.00;
29 pages of Specification, 6 pages of Claims,
1 page of Abstract; Declaration/Power (3 pages); 7 Sheets of
Formal Drawings (Figs. 1-6, 7A-7B); Claim to Priority (1 page) with Certified Copy
of Japanese Application No. P2000-307602; Assignment Cover Sheet (1 page),
Assignment document (2 pages), and Check No. 13853 for \$40.00; and this
postcard.

IN CONNECTION WITH:
Masato SAKAMOTO


FOR: "CARRIAGE SERVO CONTROL SYSTEM
AND INFORMATION-RECORDING MEDIUM IN
WHICH PROGRAM FOR CARRIAGE SERVO
CONTROL IS RECORDED"

Our reference:
B-4326 619127-3

Date mailed:
October 4, 2001

Express Mail No.:
EL896635336US

STAMP

Jc986 U.S. PTO
09/972441

10/05/01

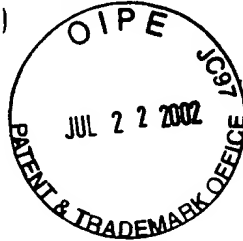


UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/972,441	10/05/2001 10/04/2001	2651	758	B-4326 619127-3	7	21	2

LADAS & PARRY
Suite #2100
5670 Wilshire Boulevard
Los Angeles, CA 90036-5679



CONFIRMATION NO. 4134

FILING RECEIPT



OC000000007023385

COPY OF PAPERS
ORIGINALLY FILED

Date Mailed: 11/05/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Masato Sakamoto, Kawagoe-shi, JAPAN;

Assignment For Published Patent Application

PIONEER CORPORATION;

Domestic Priority data as claimed by applicant

Foreign Applications

JAPAN P2000-307602 10/06/2000

If Required, Foreign Filing License Granted 11/05/2001

Projected Publication Date: 04/11/2002

Non-Publication Request: No

Early Publication Request: No

Title

Carriage servo control system and information-recording medium in which program for carriage servo control is recorded

Preliminary Class
369



COPY OF PAPERS
ORIGINALLY FILED

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Masato SAKAMOTO

Serial No.: 09/972,441

Filing Date: October 4, 2001
(as amended)

For: "CARRIAGE SERVO CONTROL
SYSTEM AND INFORMATION-RECORDING
MEDIUM IN WHICH PROGRAM FOR..."

Group: 2651

Examiner: not yet assigned

Our ref.: B-4326 619127-3

Date: July 16, 2002

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

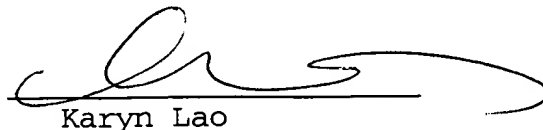
Sir:

VERIFICATION

I am the person who mailed the above-identified application pursuant to 37 CFR. 1.10 on October 4, 2001; and I verify that the subject application with all of the items required under 35 U.S.C. 371 were deposited with the United States Postal Service in an Express Mail envelope with sufficient postage for Express Mailing on October 4, 2001.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: July 16, 2002



Karyn Lao

Manager, Customer Services
BICENTENNIAL STATION



COPY OF PAPERS
ORIGINALLY FILED



November 21, 2001

Assistant Commissioner of Patents and Trademarks
Box New Patent Applications
Washington, D.C. 20231

To whom it may concern

On ~~October 4, 2001~~, we, the U.S. Postal Service picked up Express Mail item #EL896635336US from our customer, Ladas & Parry. Regrettably, we mishandled this item and it entered our mailstream on October 5, 2001, a complete day later. Clearly the U.S. Postal Service is responsible for this unfortunate incident, not the sender.

Please accept this letter and copy of the Pickup Service Statement, PS Form 5541, as irrefutable documentation that our customer mailed this item on October 4, 2001.

Sincerely

Phil Cascio
Manager, Customer Services
Bicentennial Station
323 933-5953